

<p style="text-align: center;">KENTUCKY CORRECTIONS Policies and Procedures</p>	<p>Policy Number</p> <p style="text-align: center;">6.4</p> <p>Date Filed</p> <p style="text-align: center;">Not on File with LRC</p>	<p>Total Pages</p> <p style="text-align: center;">2</p> <p>Effective Date</p> <p style="text-align: center;">August 1, 2006</p>
<p>References/Authority</p> <p>KRS 439.480, 439.420, 439.310, 439.380 and 61.872; P&P ACA 3-3101</p>	<p>Subject</p> <p style="text-align: center;">COMMUNITY SERVICES CASE RECORD MANAGEMENT</p>	

I. DEFINITIONS

“Case Folder” means a legal-size manila folder with fasteners on both sides to hold documents of offender information.

“Offender Records Section” means the Offender Records Section, located in Central Office, has control and custody of the official records of those individuals incarcerated in Kentucky adult correctional institutions.

II. POLICY and PROCEDURES

A. A case record shall be maintained in the probation and parole office files on all offenders under supervision. Information shall be released only to persons authorized by appropriate regulations.

B. The Case Folder

1. A legal-size case folder shall be prepared on all active supervision cases.
2. The label shall list last name (court name), first name and middle name, the date of birth and the type of case. An example is:

SMITH, JOHN JAY DOB 02-14-37
(probation)

C. Method of Filing

1. All active case folders are to be filed alphabetically. The inactive shall also be filed alphabetically but separate from the active case folders.

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2. Active supervision cases are kept in a file in the local probation and parole office.

D. Organization of File

Case files are to be organized by the following order:

1. The left side of the case folder shall contain in chronological order the Releasee's Monthly Report for the last six months. A photograph of the offender shall be placed either in the electronic offender management system or at the bottom of the left side of the offender file so that it is readily visible.
2. The right side of the folder shall contain all other documents in chronological order-beginning with intake, legal and presentence investigation documents an ending with current supervision materials.

E. Security

All records not in use shall be stored under a minimum of one lock (individual office door, file room door, or cabinet). All records in use shall be directly supervised and controlled by an agency employee. No unauthorized person(s) shall access a record.

F. Privacy of Case Records

Release of information contained in the case file is to conform to [CPP 6.1](#) as required by the Open Records Law.

G. Records Review

The policies and procedures for governing case record management shall be reviewed at least annually.

H. Retention and Disposal Schedule

Case records of discharged offenders shall be retained in the field office for the length of time specified in the applicable State Retention and Disposal Schedule for the Corrections Cabinet prepared by the Archives and Records Center. The records shall also be destroyed in the manner set forth in the schedule.